

CEPA

Certification Scheme for Pest Management Services

PROTOCOL

For providing audit and certification services



Certified Professional Pest Management

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1.0 Introduction

1.1 The CEPA Certification Scheme for Pest Management Services ('The Scheme') is based on the CEN Standard EN 16636 (Pest Management Services – Requirements and Competences) ('The Standard'). The Terms and Definitions in Clause 3 of that Standard shall have the same meanings in this Protocol. Organisations that are Members of The Scheme are required to operate in compliance with the requirements of The Standard and within the law.

1.2 CEPA is the Confederation of European Pest Management Associations. It represents, at the European level, 25 national and regional trade associations and an industry with a turnover of more than € 3,000 million generated by 10, 000+ companies with over 40,000 employees. In addition to the associations the CEPA membership also includes manufacturers, distributors and service companies in Europe.

1.3 On behalf of its member organizations, CEPA seeks to enhance the dialogue with European and international stakeholders with the view of harmonising legislation affecting the pest management sector.

1.4 The Scheme was developed in order to:

- enable the users of pest management services to identify those providers that offer an effective, safe and legal service
- provide pest management companies across Europe with the opportunity to benchmark themselves against their peers
- demonstrate the professionalism of the pest management sector
- offer a strong platform for the establishment of a global standard for Service Providers

1.5 Certification can be awarded only to organisations (Service Providers) not to individuals. A certificate shall be valid for no more than three years and it shall apply only to a Service Provider's operations within a single country; it shall not apply to operations in more than one country. If a Service Provider operates in more than one country, they can seek separate certification for operations within each of its countries of operation. If a Service Provider operates from more than one location (site) in a country they can choose whether to apply for one certification for relevant operations at all sites in that country, for one certificate per site or for some combination of these. However, a site shall not be covered by more than one certification for the Scheme. Appendix 1 to this Protocol sets out how multi-site operations shall be audited and certificated.

1.6 Organisations that wish to join the CEPA Scheme shall be audited by a Certification Body approved by CEPA. Once they have demonstrated to the Certification Body that they conform to the requirements of The Standard, they can be certificated. This Protocol sets out the requirements for the Audit and Certification processes. It is based on the Principles of Auditing set out in the International Standard ISO 19011:2011, Guidelines for auditing management systems.

1.7 Service Providers, Certification Bodies, Auditors and CEPA shall comply with the Rules of The Scheme, which are set out in a separate document.

2.0 Certification Programme

2.1 The certificate shall be valid for three years from the date of the Certification Audit. The expiry date of subsequent certificates shall also be calculated from the date of the initial Certification Audit, unless the certification was withdrawn or surrendered at any time (see Appendix 2).

2.2 Following the Certification audit there shall be one surveillance audit after 18 months. Within three years of the date of the Certification Audit there shall be a Re-certification Audit if the organisation wished to maintain its certification.

2.3 It shall be the responsibility of the Service Provider to maintain their certification, including ensuring that audits are carried out in accordance with the requirements of this protocol.

3.0 Initial Audit and Certification

3.1 There are four stages to the initial audit and certification processes:

- i. Application and desk review
- ii. Initial Certification Audit and raising of Non-conformities
- iii. Correction of Non-conformities and close out
- iv. Reporting and Certification

3.2 Application to join the Scheme and Desk Review

3.2.1 Before a Service Provider is audited there shall be a legally enforceable agreement between the Certification Body and the Service Provider for the provision by the Certification Body of audit and certification services. This shall include a commitment to comply with the requirements of this Protocol and with the Rules of the CEPA Scheme.

3.2.2 Service Providers that wish to join the Scheme shall apply in writing to a Certification Body that has been approved by CEPA to offer audit and certification services for the Scheme. In order to judge whether they can provide the audits and certification required by the Service Provider, the Certification Body shall ask the Applicant:

- Where is the head office for the Service Provider?
- How many operatives does the Service Provider have?
- Where are the local/regional sites that will fall under the certification?
- Where can records relating to the pest management services be examined?
- What range of pest management services does the Service Provider offer?
- What is the name and contact details of the person responsible for the application from the Service Provider
- Whether the Service Provider is member of one of CEPA national or regional associations

3.2.3 A person within the Certification Body having knowledge of The Standard and of the Certification Body's relevant resources shall review the information provided by the applicant and

decide whether the Certification Body can provide the service required at all relevant sites (see Appendix 1 on Multi Site Operations). If the Certification Body cannot provide the service they shall inform the applicant, giving the reasons, within 10 working days.

3.3 Initial Certification Audit and Raising of Non-conformities

3.3.1 Audit Plan

At least ten working days before the agreed date of the audit, the Certification Body shall contact the Service Provider to check whether the information listed under clause 3.2.2 is still correct and to discuss and agree:

- The scope of the business that is being audited
- The range of pest management services offered by the Service Provider
- Where the audit will take place
- The proposed start and finish times for the audit
- Who will be present during the audit (name of auditor, principal client contact, other personnel)
- What the Service Provider will need to provide during the audit

3.3.2 Audit Process

3.3.2.1 The purpose of the audit is to seek evidence that confirms that the client is operating in compliance with the requirements of the Standard. The evidence shall be robust and auditable. It will therefore be in the form of documented procedures and records and the auditor shall also check that these are understood and used by questioning personnel, examining equipment and, where possible, observing operations. When robust evidence is not available to confirm that the client is meeting the requirements of a clause of the Standard, the auditor shall raise a Non-conformity.

3.3.2.2 During every audit the auditor shall seek evidence of conformance with the following clauses of The Standard:

- 4.2 Assess infestation and monitoring
- 4.3 Root cause analysis
- 4.4 Client and site risk assessment
- 4.5 Define field of application
- 4.6 Definition of pest management plan
- 4.7 Formal client proposal
- 4.8 Delivering the agreed service
- 4.9 Formal report and recommendations
- 4.10 Confirm service effectiveness
- 4.11 Disposal of waste

- 5.1 Competence
- 5.2 Management of equipment
- 5.3 Supply and use of pesticides
- 5.4 Documentation and recording

3.3.2.3 The auditor shall keep notes to support their judgements and a copy of these notes shall be held in the records maintained by the Certification Body.

3.3.2.4 Audit site visits shall take place at the principal site (Central Office) for the activities that are to be covered by the certification. However, the requirements of Appendix 1 (Multi-site Operations) shall be complied with. It is essential that the auditor is provided with access to documents, records and personnel to enable them to determine whether or not the Service Provider conforms to the requirements of The Standard.

3.3.2.5 The audit process for each site shall include a desk review of documentation (including procedures, policies and records), interviewing the Technically Responsible Person and at least one Professional User (as defined in The Standard). The desk review can be carried out remotely up to ten working days before the site visit. During the initial certification audit and at least once in each three year Certification Programme the auditor shall also witness at least one example of pest management operations in the field to verify conformity with The Standard. This example shall be chosen by the auditor.

3.3.3 Audit Duration

The typical duration of an audit of a site shall be half a day for the desk review and half a day for the field visit. If the desk review is carried out with the field visit the total audit time shall be one day. Certain factors will necessitate an increase in the duration of the audit. These could include (but are not restricted to):

- Service Provider is not well prepared for the audit
- Large number of personnel involved in activities covered by the audit
- Service Provider is providing from the site of the audit operations over a wide geographical area
- Non-conformities raised during the Audit

3.3.4 Non-conformities

See Appendix 3 for the Procedure for Raising and Grading Non-conformities.

3.4 Correction of Non-conformities and Close Out

3.4.1 All Critical and Major Non-conformities shall be corrected by the Service Provider before initial Certification can be awarded. The Service Provider shall provide the Certification Body with evidence of suitable corrective action. The evidence shall be reviewed by the auditor who raised the Non-conformities and, if they are satisfied that the evidence demonstrates that the Service Provider complies with the relevant clauses, the auditor shall close out the Non-conformity. This shall be completed within three months of the date of the audit. If it is not possible to close out all the Non-conformities within three months of the audit, the Service Provider's application shall lapse and they will have to submit a new application to join the Scheme and have a further, full Certification Audit.

3.4.2 Following the initial (Certification) audit, Certification can be awarded even if there are up to three Minor non-conformities, providing that:

either no Critical or Major Non-conformities were raised *or* all Critical and Major Non-conformities have been corrected and closed out within the time frame specified in Clause 3.4.1;

and within four days of the audit the Service Provider explains in writing how they will correct the Minor Non-conformities within two months of the audit and the auditor accepts that it will be possible to complete the proposed corrective action within two months of the audit.

In the event that Certification is awarded under these circumstances, within two months of the audit the Service Provider shall provide the Certification Body with documentary evidence of the completion of actions that correct the Non-conformities. If they fail to do so, or if the auditor judges that the Non-conformities remain uncorrected, the Certification Body shall raise the Minor Non-conformities to Major Non-conformities and the Service Provider's Certification shall be suspended.

3.5 Reporting and Certification

3.5.1 The auditor shall produce a report on the audit in the format required by CEPA. If no Non-conformities were raised at the audit, the report shall be dispatched to the Service Provider within ten working days of the completion of the audit. If Non-conformities were raised at the audit, a final report shall be dispatched to the Service Provider within 13 weeks of the audit or within ten working days of the close out of all Non-conformities, whichever is the earlier;

3.5.2 Following every audit the Certification Body shall decide whether the Service Provider shall be certificated. This decision shall not be made by any person who was involved in carrying out the audit. Certificates shall contain as a minimum the information specified by CEPA.

3.5.3 Certificates shall be issued by the Certification Body and shall remain the property of the Certification Body.

3.5.4 The Certification Body shall provide CEPA with an accurate list of certified Service Providers on the 1st and 15th day of each month in the format provided by CEPA.

4.0 Surveillance Audits

4.1 Following Certification there shall be one half day Surveillance audit which shall take place between 16 and 20 months after the Certification Audit. The procedures for Audit Planning, Audit Process and Raising of Non-conformities shall be the same as for the initial Certification Audit.

4.2 If a Surveillance Audit does not take place before the deadlines specified in Clause 4.1 the Certification Body shall suspend the Service Provider's certification and inform CEPA.

4.3 The handling of Non-conformities raised during a Surveillance Audit shall be as specified below (Handling Non-conformities at Surveillance and Recertification).

4.4 The Certification Body shall provide the Service Provider with a report on the Surveillance Audit, in the format specified by CEPA, within two months of the audit or within ten working days of the close out of all Critical and Major Non-conformities, whichever is the earlier.

5.0 Recertification Audit

5.1 The Recertification Audit and the correction and close out of Non-conformities and the decision on certification shall be completed no later than three weeks after the expiry date of the certificate. In order to enable this, the Recertification Audit can take place up to two months before the expiry of the certificate. If the Recertification decision has not been completed in the required time frame, the Certification Body shall suspend Certification.

5.2 The procedures for Audit Planning, Audit Process and Raising of Non-conformities shall be the same as for the initial Certification Audit

5.3 The handling of Non-conformities raised during a Recertification Audit shall be as specified below (Handling Non-conformities at Surveillance and Recertification).

5.4 The Certification Body shall provide the Service Provider with a report on the Audit, and with their Certificate, in the format specified by CEPA, within two months of the audit or within ten working days of the close out of all Non-conformities, whichever is the earlier. The new Certificate shall contain as a minimum the information specified by CEPA.

6.0 Handling Non-conformities at Surveillance and Recertification

6.1 The procedure for handling Non-conformities at a Surveillance Audit or a Recertification Audit will differ from the procedure at the initial Certification Audit.

6.2 Non-conformities raised at a Surveillance Audit

6.2.1 If a Critical Non-conformity is raised at a Surveillance Audit, the Service Provider's Certification shall be immediately suspended by the Certification Body. The Service Provider shall implement corrective actions and the Certification Body shall arrange for their auditor to carry out a Re-audit of all the clauses for which Non-conformities (at any level) were identified during the surveillance audit. This Re-audit shall take place at the site of the Surveillance Audit and could include observing pest management operations in the field. Any Non-conformities identified during the Re-audit shall be raised by the auditor using the procedure that complies with the requirements set out above (Procedure for Raising Non-conformities). Non-conformities raised during earlier audits shall be closed out by the auditor only once they have seen evidence that demonstrates compliance with the relevant clauses of the Standard. The suspension of certification can be lifted by the Certification Body only once all Critical and Major Non-conformities have been corrected by the Service Provider and closed out by the auditor. Suspended Service Providers shall be identified in the updated lists clients that the Certification Body is required to send to CEPA at the interval specified by CEPA. .

6.2.2 Major Non-conformities raised at a Surveillance Audit shall be corrected by the Service Provider who shall provide the Certification Body with evidence of suitable corrective action. The evidence shall be reviewed by the auditor that raised the Non-conformities and, if the evidence

demonstrates that the Service Provider complies with the relevant clauses, the auditor will close out the Non-conformity. This shall be completed within one month of the date of the Surveillance Audit. If evidence to show that the Major Non-conformities have been corrected is not received by the Certification Body within this time, the Certification Body shall suspend the Service Provider's certification.

6.2.3 When Minor Non-conformities are raised at a Surveillance Audit, the Service Provider shall take action to correct them but it is not necessary to provide evidence of corrective action at that time. The auditor shall ensure that the effectiveness of the corrective action is verified at the next audit. Minor Non-conformities that have not been corrected by the time of the following audit shall be upgraded by the auditor to Major Non-conformities and handled accordingly.

6.3 Non-conformities raised at a Recertification Audit

Critical and Major Non-conformities raised at a Recertification Audit shall be handled in the same way as when they are raised at a Surveillance Audit. Minor Non-conformities shall be corrected by the Service Provider and evidence of that correction provided to the Certification Body within one month of the date of the Recertification Audit. Recertification shall not take place until all Non-conformities have been corrected by the Service Provider and closed out by the auditor.

7.0 Changes to the Service Provider's details or scope

7.1 The Service Provider shall keep the Certification Body informed about any relevant changes to their business. This shall include changes to:

- The information specified in Clause 3.2.2 of this Protocol
- The name or ownership of the Service Provider
- Addresses of sites
- Key personnel and contact details
- The required scope of certification
- Other certifications held by the Service Provider

7.2 The Service Provider shall immediately inform the Certification Body about any threat of legal action or actual legal action against it or any contractor used by them in the delivery of pest management services

7.3 In the event that they are made aware of changes to a Service Provider with which they have an agreement under Clause 3.2.1 of this Protocol, the Certification Body shall update their records and determine whether what further action is required. This further action could include:

- Notifying CEPA
- Contacting or visiting the Service Provider to determine the nature of the changes
- Auditing the Service Provider, or specific sites
- Replacing the Certificate
- Suspending or Withdrawing Certification

8.0 Reports

8.1 The auditor shall produce for each audit a report in the format required by CEPA. The report shall be in the language agreed between the Service Provider and the Certification Body.

8.2 The report shall remain the property of the Service Provider and shall not be released, in whole or in part, to any other party except with the prior consent of the Service Provider or as required by the law. However, the Certification Body shall retain a copy of the report for at least five years and shall provide CEPA with a copy of the report as specified in the agreement between the Certification Body and CEPA.

8.3 In the report the Certification Body shall itemise all Non-conformities identified during the audit, including any that were corrected during the audit. This itemisation shall include the relevant clause of the Standard, the nature of the Non-conformity, the level of the Non-conformity and a brief description of any corrective measures proposed by the Service Provider.

9.0 Use of logo

9.1 Service Providers who obtain certification in accordance with the present Protocol are granted a royalty free license to use the CEPA Certified logo reproduced on the title page of this Protocol.

9.2 The use of the logo or any similar logo by any company or person who is not so certified is strictly forbidden.

Appendix 1 (Normative)

Multi-site operations

A 1.1.0 Introduction

A1.1.1 The Scheme is for the audit and, if appropriate, certification of organisations (Service Providers) providing professional pest management services. The size of these organisations can be as small as one person or they can be larger organisations having tens or hundreds of employees. Some are very large multinational businesses that employ thousands of people across the World. The Scheme can apply to any of these but:

- Only organisations can be Certificated or become members of The Scheme; certification shall not apply to individuals;
- A certificate shall be valid only for a Service Provider's operations within a single country;
- Certification shall apply only to pest management services as specified in the Scope (Clause 1) of The Standard.

A1.1.2 Within a country, many Service Providers operate from multiple sites. The Service Provider can decide whether:

- A. each site is to be regarded as a separate operation, having certification that applies only to that site; or
- B. all sites are to be covered by one certification; or
- C. a combination of these, for example several certificates each of which covers the sites within a geographical region.

A1.1.3 A site shall not be covered by more than one certification for the Scheme.

A1.1.4 In the case of Options B and C, in which a certificate applies to more than one site:

- all the sites covered by the certificate shall be subject to a common management system;
- one of the sites covered by the certificate shall be designated by the Service Provider as the Central Office at which all relevant records can be accessed;
- the Central Office shall subject all sites covered by the certificate to continuous surveillance and periodic (at least annual) checks of their compliance with the Standard and maintain records of these checks for examination by the Certification Body or by CEPA; Non-conformities identified during internal audits shall be corrected promptly and the effectiveness of the corrective action verified by the Central Office;
- the pest management services provided by every site shall be within the certificated scope of the Service Provider;
- it is not necessary for every site to offer the full range of pest management services provided by the Service Provider.
- the Service Provider and the Certification Body shall each maintain a record of which pest management services are offered from each site covered by the certification

A1.2.0 Audit of Multi Site Operations

A1.2.1 The Certification Body shall have documented procedures to deal with multi-site clients. These procedures shall comply with the requirements of the Standard and Scheme and with the Protocol and its Appendices.

A1.2.2 If more than one auditor is involved in the audit or surveillance of a client having multiple sites, the Certification Body shall designate an Audit Leader whose responsibility it is to consolidate the findings from all sites and to produce a synthesis report.

A1.2.3 All site audits shall be carried out in compliance with Clause 3.3 of the Protocol.

A1.3.0 Non-conformities

A1.3.1 Non-conformities shall be handled in accordance with Clauses 3.4 and 6.0 of the Protocol. In addition, when Non-conformities are identified at any site covered by a certificate (either through the Service Provider's internal auditing or through auditing by the Certification Body) as part of their corrective action the Service Provider shall investigate whether the other sites covered by the certificate are also affected. If any are found to be affected, action to correct the Non-conformities shall be implemented in accordance with Clauses 3.4 and 6.0 of the Protocol and verified at all of the individual sites affected. If they are not found to be affected, the Service Provider shall ensure that it is able to justify limiting its corrective action to the site where the original Non-conformity was identified.

A1.3.2 The Certification Body shall require evidence of these actions and increase its sample size until it is satisfied that control has been re-established by the Service Provider to ensure that all sites covered by the certificate are in compliance with The Standard.

A1.3.3 At the time that the Certification Body is making a decision on the Service Provider's certification, if any site covered by the certificate has a Non-conformity, certification shall be denied to all of the sites covered by the certificate until the Non-conformity has been corrected to the satisfaction of the Certification Body. This shall include verifying that the Service Provider has investigated the other sites covered by the certificate and corrected the Non-conformity at any of those sites which are affected.

A1.3.4 It shall not be admissible that, in order to overcome the obstacle raised by the existence of a Non-conformity at a site, the Service Provider seeks to exclude from the scope the 'problematic' site during the certification process. Such exclusion can only be agreed in advance of the audit.

A1.4.0 Certificates for Multi-site operations

A1.4.1 Certificates can be issued covering multiple sites providing that each site included in the scope of certification has been individually audited by the Certification Body or audited using the sample approach specified in this Appendix.

A1.4.2 The Certification Body shall provide a copy of the Certificate for each site included in the scope. These certificates shall be identical. They shall identify the Central Office, including its name and address, and shall also list (by name and postcode at least) all of the sites covered by the certification.

A1.4.3 The Service Provider shall ensure that the list of sites is correct. They shall notify the Certification Body if any site closes or ceases to provide the services covered by the certification.

A1.5.0 Sampling

A1.5.1 Sampling Method

A1.5.1.1 It is not necessary to audit every site before certifying a Service Provider or at surveillance or re-certification. However, before confirming certification the Certification Body shall audit a sufficient number of sites to enable it to judge whether the Service Provider is in compliance with The Standard. This section specifies the minimum requirements.

A1.5.1.2 The sample shall be partly selected based on the factors set out below and partly at random. The selection process shall result in a representative range of different sites being selected. At least 25% of the sample should be selected at random.

A1.5.1.3 The sample selection process shall ensure that each round of audits includes all of the types of pest management service within the scope of the Standard which are offered by the Service Provider.

A1.5.1.4 The selection process shall in addition take into account the following:

- Results of internal site audits and management reviews and results of previous audits by the Certification Body
- Records of complaints and other relevant aspects of corrective and preventive action
- Significant variations in the size of the sites
- Variations in shift patterns and work procedures
- Complexity and range of the processes conducted at the sites
- Changes to the Service Provider's operations since the last audit
- Geographical dispersion of sites

A1.5.2 Size of Sample

A1.5.2.1 The Certification Body shall have a documented procedure for determining the sample of sites to be taken at each audit of a Service Provider having a multi-site operation to be certificated. This procedure shall take into account all the factors described in this Appendix, the Standard and the other Appendices.

A1.5.2.2 The Certification Body shall have records of its use of multi-site auditing and these shall include the justification of its sample selection.

A1.5.2.3 The minimum number of sites to be visited per audit shall be as follows:

- Certification Audit: the square root of the number of sites, rounded to the upper whole number ($y=\sqrt{x}$)
- Surveillance: 0.6 of the square root of the number of sites, rounded to the upper whole number ($y=0.6 \sqrt{x}$)
- Re-certification audit: the size of the sample should be the same as for the Certification Audit. However, if the Service Provider has demonstrated effective control of their operation over the preceding three years, the size of the sample can be reduced to 0.8 of the square root of the number of sites, rounded to the upper whole number ($y=0.8 \sqrt{x}$).

A1.5.2.4 The Central Office shall be audited during every Certification Audit, Surveillance Audit and Re-certification Audit.

A1.5.2.5 When the Service Provider has a hierarchical system of sites (e.g. Central Office, Regional Offices, Local Branches), the sampling method shall ensure that all levels are included in the sample. The number of sites at each level to be visited during an audit shall be determined in accordance with Clause A1.5.2.3 of this Appendix.

A1.5.2.6 The duration of the visit at each site shall be at least half a day (3.5 hours).

A1.6.0 Adding or Removing Sites from Certification

A1.6.1 The Service Provider can ask the Certification Body to add sites to its certification. The Certification Body shall have documented procedures for the addition of further sites. These procedures shall include verifying that the further sites comply with Section A1.1.0 of this Appendix.

A1.6.2 The Service Provider shall notify the Certification Body if any of the sites covered by the certification closes or stops offering services within the scope of the certification. The Certification Body shall withdraw all certificates that make reference to these sites and issue new ones that carry the correct information.

A1.6.3 On the application of new sites to join an already-certificated multi-site operation, the new sites shall be considered as a new and independent set for the determination of the sample size for the Certification Audit. Once the new sites have been included in the certificate, the sample size of subsequent audits of the Service Provider shall be determined on the basis of the new total number of sites.

A1.6.4 The Certification Body shall ensure that its records about the sites covered by the certification are up to date. It shall notify CEPA about any changes to a Service Provider's certification within one month of the change

Appendix 2 (Normative)

Withdrawal, Suspension or Surrender of Certification

A2.1.0 Definitions

‘Withdrawal’ is the termination by the Certification Body of a Service Provider’s certification.

‘Suspension’ is the temporary removal by the Certification Body of a Service Provider’s certification.

‘Surrender’ is the termination by the Service Provider of their Certification

A2.2.0 In the event that a Service Provider’s Certification is withdrawn, suspended or surrendered, they shall immediately:

- return the certificate to the Certification Body
- remove all references in their literature, web sites, correspondence and other places to their certificated status, including using the Scheme Logo
- inform all the clients with which they have a contract to provide pest management services that they are no longer certificated under the Scheme

A2.3.0 If a Service Provider’s certification is withdrawn, surrendered or suspended the Certification Body shall inform CEPA within ten working days.

A2.4.0 Certification shall be suspended for a period of no more than six months. If the suspension has not been lifted within this period the Certification Body shall withdraw certification.

A2.5.0 The Certification Body shall lift the suspension of a Service Provider only once they have seen sufficient evidence to demonstrate that the factors which lead to the suspension have been corrected. If the suspension was due to a surveillance audit not having been carried out before the due deadline (Clause 4.2 of this Protocol), the suspension shall not be lifted until the surveillance audit has been completed with all Non-conformities closed out in accordance with Clause 6.0 of this Protocol and its sub-clauses.

A2.6.0 If, following withdrawal or surrender of their Certification, a Service Provider wishes to be re-certificated they shall make a new application to a Certification Body approved by CEPA. The Certification Body shall handle this as a new application in accordance with Clause 3.0 (and its sub-clauses) of the Protocol.

A2.7.0 When a Service Provider is certificated following withdrawal or surrender of certification, the validity of their new certificate shall be calculated from the date of the latest certification audit.

Appendix 3 (Normative)

Procedure for Raising and Grading Non-conformities

A3.1.0 In any Audit, when robust evidence is not available to confirm that the client is meeting the requirements^(a) of a clause of the Standard, the auditor shall raise a Non-conformity. The Non-conformity shall be formally raised even if the Service Provider corrects it during the audit. If the Non-conformity is corrected during the audit, the auditor can close it out at that time but their report shall include details of the Non-conformity, corrective action and close out.

A3.2.0 Non-conformities can be raised by the Certification Board at any time if they have evidence that demonstrates that the Service Provider is not meeting the requirements of The Standard.

A3.3.0 The auditor shall assign to each Non-conformity a level with respect to severity and risk. The level shall be based on evidence collected, including observations made during the audit. There are three levels of Non-conformity:

CRITICAL	A failure to meet a requirement of the Standard and that failure is causing an immediate threat to the safety of any person or non-target species or of serious environmental harm or there is evidence of illegal practices.
MAJOR	There is a failure to meet a requirement of the Standard and there is evidence that the failure is having an adverse effect on the pest management service provided.
MINOR	There is a failure to meet a requirement of the Standard but this is not having an effect on the pest management service provided.

A3.4.0 Non-conformities shall be raised in writing and shall include:

- The relevant clause of the Standard;
- The level of the Non-conformity;
- A brief description of the evidence

A3.6.0 Before the Audit is completed, the representative of the Service Provider shall be asked to sign to confirm the factual accuracy of the finding. The auditor shall provide the Service Provider with written statements of Non-conformity before they leave the site at which the audit is taking place.

A3.7.0 The purpose of the audit is to provide a true reflection of the standard of the Service Provider's operation and level of conformity with the Standard. If the auditor finds multiple Minor Non-conformities against a particular clause of the Standard, and this provides evidence of an underlying weakness in the management system, they shall raise a Major Non-conformity against that clause.

A3.8.0 A single Non-conformity shall not include requirements that relate to two or more Criteria.

(a) *Note that a 'requirement' is denoted in The Standard by the word 'shall'. 'Should' does not denote a requirement but it does identify good practice. The auditor can identify an 'Opportunity for Improvement' when they find that the Service Provider is not using the identified good practice but this shall not constitute a Non-conformity and shall not require action by the Service Provider.*

Appendix 4 (Normative)

Requirements for Certificates

Information required on certificates:

Title of Scheme

Registration number

Scope

Addresses Service Provider and Certification Body

List of sites

Services offered by each site (probably need to be in separate document)

Dates, including expiry and interim audit date

Remains property of Certification Body

Statement that validity of certificate can be verified by contacting Certification Body